

#### **Washington State Archives**

### Records Management 101



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### Overview

- Requirements for Managing Public Records
- Requirements and Guidelines (by format)
  - Scanned Documents
  - Email
  - Websites and Databases
  - Texts, Social Media and more!



## RCW 40.14 Preservation and Destruction of Public Records

"Public records include any paper, correspondence, completed form, bound record book, photograph, film, sound recording, map, drawing, machine-readable material, compact disc meeting current industry ISO specifications, or other document, regardless of physical form or characteristics, and including such copies thereof, that have been made by or received by any agency of the state of Washington in connection with the transaction of public business"



### WHAT IS A RECORD? QUIZ # 1

State Patrol is called to the scene of an accident. The patrol officer takes a digital photo of the car involved. Is this photo a public record?

□ Yes

□ No



### WHAT IS A RECORD? QUIZ # 2

In your desk drawer, you have a copy of the contents of your personnel file. It contains duplicates of your application, training taken, awards received, etc. Is this a public record?

□ Yes

□ No



### WHAT IS A RECORD? QUIZ # 3

You come back to your desk following lunch and your computer indicates that you have two email messages waiting for you.

- A.) One message is from the assistant director requesting shared leave for an employee on extended sick leave.
- B.) The other message is from your boss, giving you the agreed-upon timelines and goals for an upcoming project. Which message is a public record?
  - □ A only □ B only □ Both A and B □ Neither A nor B



#### WHAT IS A RECORD? Quiz # 4

Your agency uses Facebook and has invited public comment on an issue.

Is this a public record?

□ Yes



### Content matters

### Messages that facilitate or document actions affecting the conduct of business

- Policies, significant decisions, commitments, or important meetings
- Requests or provides substantive information
- If content protects rights legal, fiscal, property, other



### The RULES apply

- The rules for public records are applicable regardless of format or device
- Retention and disposition are also applied exactly the same – there is no difference
- Records management fundamentals apply equally



### Records Retention in a Nutshell...

Retain all public records in for the MINIMUM required period of time in accordance to the approved records retention schedules and then....





### Once retention is met

DESTROY (Get rid of it!)

(if not an archival or permanent series)

or

If ARCHIVAL, then contact State Archives for appraisal and transfer of all Archival records

or

If PERMANENT, take appropriate action to retain



## What is a Retention Schedule?

An approved legal document that specifies minimum retention periods for a record series and gives agencies ongoing disposition authority after approved retention periods are met

They tell you what to do!



### CORE (Common Records)



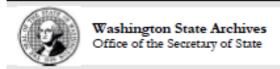
Washington State Archives Office of the Secretary of State Local Government Common Records Retention Schedule (CORE)

Version 2.1 (July 2010)

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
6.1.5	Public records that only document information of temporary, short-term value, and provided that the records are:  Not needed as evidence of a business transaction; and, Not covered by a more specific records series.  Includes, but is not limited to:  Miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of community affairs, employee meetings, holidays, etc.); Preliminary drafts of letters, memoranda, reports, work sheets, spreadsheets, presentations, and informal notes, etc., which do not represent significant basic steps in the preparation of record document(s); Routing slips used to direct the distribution of documents; Shorthand notes, stenotype tapes, and mechanical records, after they have been transcribed into typewritten or printed form on paper or microfilm; Telephone messages (including voicemail, digital voice messages, etc.); Letters of transmittal which do not add any information to the transmitted materials.	GS50-02-05 Rev. 0	Retain until no longer needed for agency business then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM



### **Local Government**



Local Government <u>Co</u>mmon <u>Re</u>cords Retention Schedule (CORE) Version 2.1 (July 2010)

#### 1. AGENCY MANAGEMENT

The function relating to the overarching management of the local government agency and its general administration. Also includes managing the agency's interaction with its community, and legal matters.

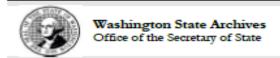
#### 1.1 ADMINISTRATION (GENERAL)

The activity associated with the day-to-day operations of the agency. Includes short-term records that can be disposed of as part of normal administrative practice.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.1.1	ACCREDITATION, CERTIFICATION, AND LICENSE DOCUMENTATION FOR AGENCY FUNCTIONS AND OPERATIONS Includes documentation of any mandatory or voluntary accreditation, certification or licenses for any aspect of an agency's functions and/or operations.	GS50-01-42 Rev. 0	Until superseded or terminated plus 6 years	NON-ARCHIVAL NON-ESSENTIAL OPR
1.1.2	ADMINISTRATIVE WORKING FILES Subject files containing informational copies of various records organized by issue, person, subject, or other areas of interest.  Remarks: Contact your Regional Archivist before disposing of elected official, executive or department head files. Records from this series may be selected for transfer to and preservation at a Regional Archives branch.	GS50-01-02 Rev. 0	Destroy when obsolete or superseded - elected official, executive and department head files are potentially archival - See remarks	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OFM
1.1.3	APPOINTMENT CALENDARS  Remarks: Elected officials and department heads may want to retain appointment calendars to document activities and appointments for a longer period of time.	GS50-01-36 Rev. 0	Destroy when obsolete or superseded See remarks	NON-ARCHIVAL NON-ESSENTIAL OFM
1.1.4	CHRONOLOGICAL REFERENCE FILE Also known as reading or day file. Used as a chronological reference source supplemental to correspondence and subject reference files.	GS50-01-08 Rev. 0	Destroy when obsolete or superseded	NON-ARCHIVAL NON-ESSENTIAL OFM



### Law Enforcement



Law Enforcement Records Retention Schedule Version 6.0 (July 2010)

#### 1. AGENCY MANAGEMENT

This section covers records relating to agency management which are not covered by the Local Government Common Records Retention Schedule (CORE).

#### 1.1 COMMUNITY RELATIONS

The activity of the local government agency's interaction with its community.

ITEM NO.	DESCRIPTION OF RECORDS	DISPOSITION AUTHORITY NUMBER (DAN)	RETENTION AND DISPOSITION ACTION	DESIGNATION
1.1.1	Crime Prevention Programs  Records relating to the management of crime prevention programs.  Includes, but is not limited to:  Crime Stoppers;  Block watch;  Business watch;  House watch.  Excludes Ride-Along program records covered by DAN LE03-01-38.	LE2010-025 Rev. 0	Retain for 1 year after obsolete or superseded then Arrange for appraisal by Washington State Archives.	ARCHIVAL (Appraisal Required) NON-ESSENTIAL OPR
1.1.2	Lock-Outs  Records relating to provision of assistance to citizens who have locked themselves out of houses or vehicles.  Excludes waivers of liability covered by CORE GS50-01-11.	LE2010-026 Rev. 0	Retain for 3 years after date of lock-out then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OPR
1.1.3	Property Registration Records relating to personal property registered with the agency for recovery if lost or stolen.	LE25-01-01 Rev. 1	Retain until no longer needed for agency business then Destroy.	NON-ARCHIVAL NON-ESSENTIAL OFM

1. AGENCY MANAGEMENT



## Preservation of Electronic Records WAC 434-662-040

Electronic records <u>must be retained in electronic</u> <u>format and remain usable, searchable,</u> retrievable and authentic for the length of the designated retention period.



### Can I print and delete?

<u>NO</u> - Printing and retaining a hard copy is not a substitute for the electronic version unless approved by the appropriate records committee.



### What is a "Born Digital" Record?

- Regardless of how it was created:
  - If the transaction or evidence of public business occurs in paper then the paper record needs to be retained.
  - If the transaction or evidence of public business occurs electronically then the electronic record needs to be retained.



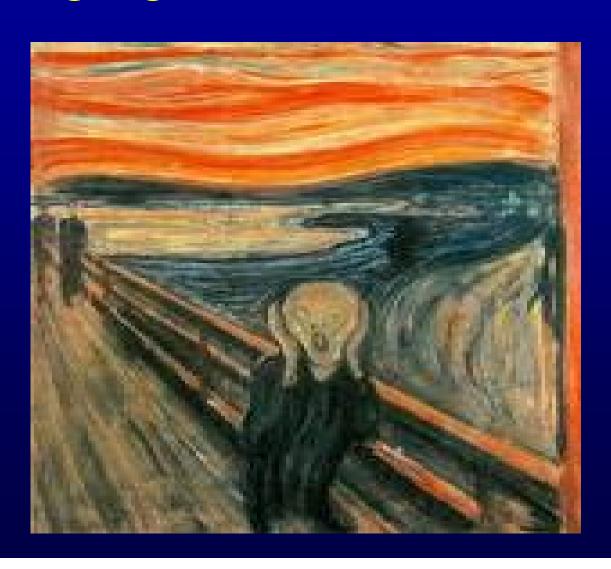
## Digitized Records Can I Scan and Toss?

"Conversion to an imaging system does not automatically authorize the destruction of the source documents for which images have been created."

WAC 434-663-600



### Managing Electronic Records





### So where do you start?

- First thing establish agency records management policies & procedures
  - Requires executive buy-in and input from legal
  - Identifies roles and responsibilities
  - Should address appropriate use
  - Include records management fundamentals
- Need user and IT support
- Training and education are essential
- Periodic compliance checks are crucial
  - Automatic deletion is not recommended!



## Why not just keep it all? Consider this:

- Think needle in a haystack.. less hay, easier to find the needle - less costs for discovery and disclosure
- Yeah, storage is cheap, litigation is NOT
- Other associated costs:
  - Additional space needed (equipment and facility)
  - Additional maintenance and staffing needed
  - Additional upgrades, increased migration & recopying, disaster planning
  - Additional long-term sustainability issues



## A winning strategy for electronic records

- Identify
- Organize
- Disposition (take action)





### Identify

Using approved records retention schedules will help you:

- Identify records you need to keep
- Identify records you can get rid of
- Identify records needing additional attention:
  - √ Essential
    - ✓ Archival



### File it – it's not just for paper





### Create a plan

- Create a "file plan" or "file structure"
- Link to retention schedules
- Pre-determined file folders provide consistency, centralization and organization
- Mirror the plan throughout use same structure for paper, email, desktop, network drives and servers
- Develop desk guides and cheat sheets



### Disposition- Do it!

- Organize to destroy
- Apply same retention and disposition practices to electronic records as you would paper based records
- Regularly schedule disposition to clear out those items having met retention and get rid of them!



### Electronic Record Life Cycle



Create or Receive Record





If NO retention value Delete



**Record / Save** 



**EXIT** 119



DESTROY and document destruction



NDDDANIEN

**Approve for destruction** 





Non-Archival

Keep until retention met



If Archival

**Transfer** 



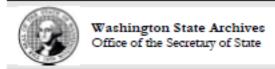
### What comes across your desk

#### Much of what comes across in an email will be:

- Transitory (serves as an FYI)
- A secondary copy or duplicate (how many others are cc'd?)
- An email "transmittal memo" of attachments (acts like a fax cover sheet)



### Little or no retention



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### Local Government Agencies

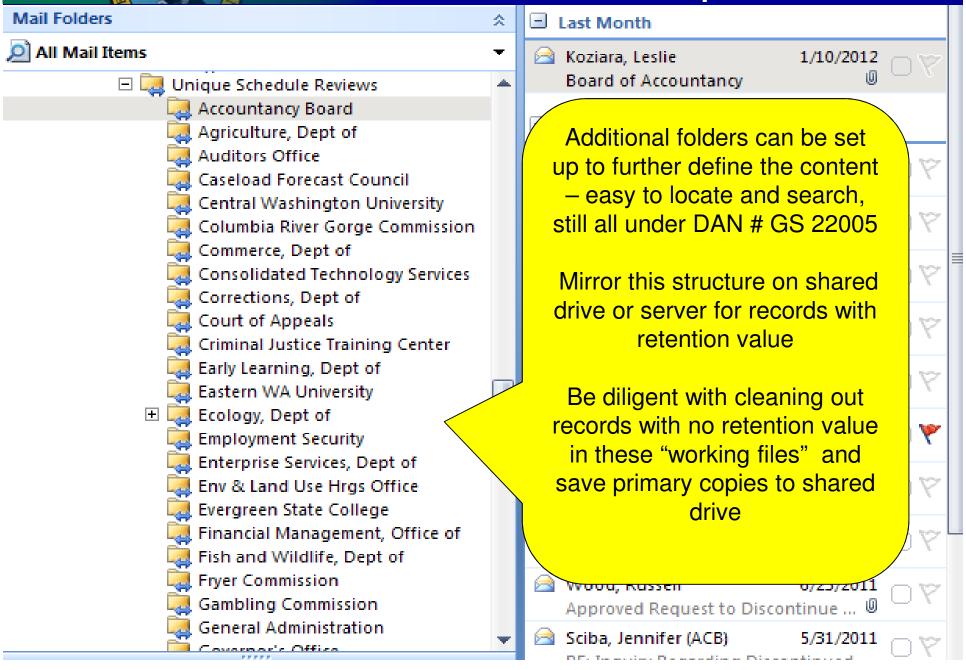


## Organizing Emails – Option 1 Within email application

- Individual users move e-mails into predetermined folders that match those on server or shared drive
- Good to set up as "working files", or for records with minimal retention value
- Recommend records with <u>significant</u> retention value be retained on drives or servers



### For example



### Washington Secretary of State



Attorney General's Office (ATG)

## Another example

# Outlook file structure

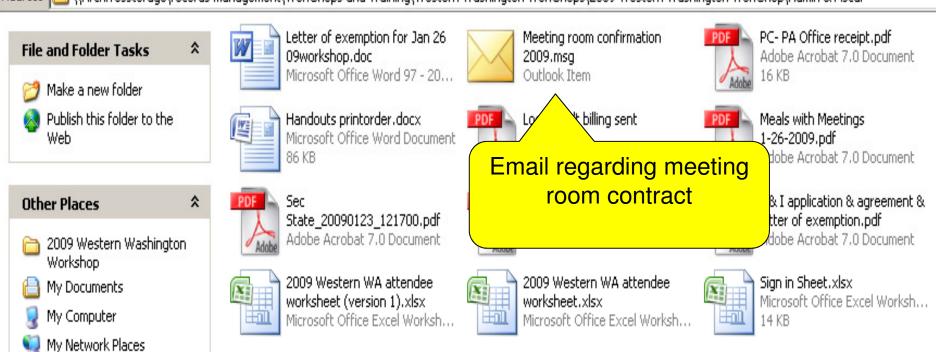


### Organizing E-mails – Option 2 Using shared drive or network server

- Designated shared drive or server is used as centralized "file cabinet" or repository
- Users save their emails into predetermined folders in specific "drawers"
- Users can access in a centralized location
- Generally no active retention or disposition applied, but can set up system administrators to track and disposition



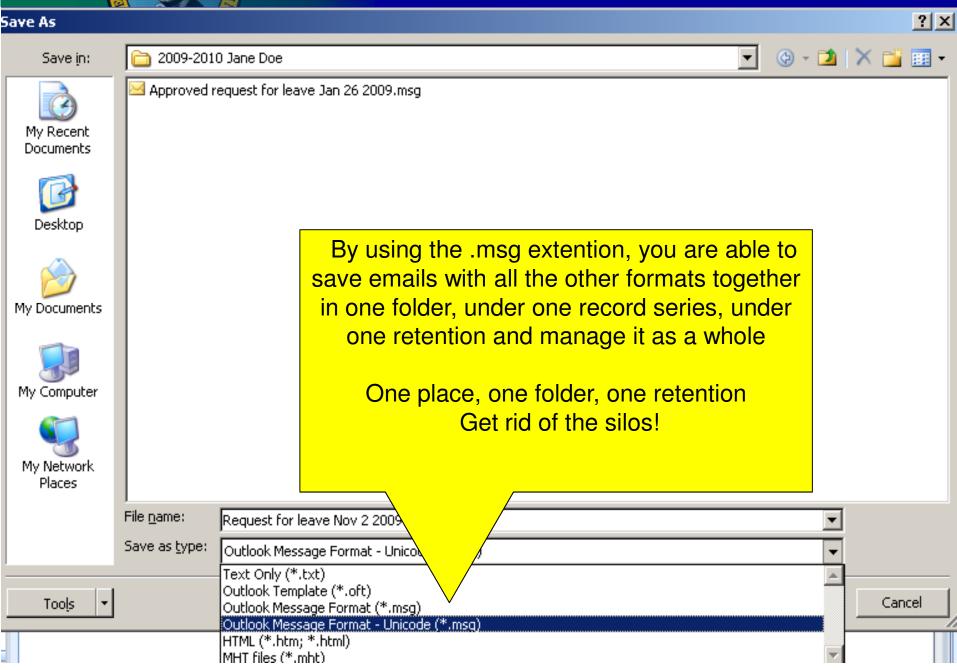
Address 🛅 \\Archivesstorage\records management\Workshops and Training\Western Washington Workshops\2009 Western Washington Workshop\Admin & Fiscal



Details ¥

Using classifications and naming conventions make it easier to search and locate the information





## Washington Secretary of State

City Playfield

## Shared drive example

Secretary of State	Shared drive example
🖃 🚞 Land Use Planning, Permits and Appeal	S
□ □ Building Construction and Modifica □ □ Permits - Invalid GS50-11-008 —	This series only has a 3 year retention, so can get rid of these files sooner
Plaza 100 Building	
Plaza 500 Building	This is an <b>essential</b> record and
Plaza 600 Building	should have additional back up. It also has a long term retention
🖃 🚞 Permits - Valid GS50-11-05	it also has a long term retention
Plaza 200 Building	This is a PERMANENT, ESSENTIAL and
Plaza 300 Building	POTENTIALLY ARCHIVAL series and should
Plaza 400 Building	noted and handled accordingly
□ Local Government Jurisdictional Boundary Change History Files GS50-16-09	
Townsquare Incorporation	
Tumwater Annexation	
☐ ☐ Maps, Drawings, Photographs (Official) GS50-16-02  Also a PERMANENT, ESSENTIAL and	
City Boundaries	POTENTIALLY
Shoreline Management	ARCHIVAL series
🖃 🚞 Maps, Drawings, Photographs (Reference) GS50-16-03	
City Park Property	

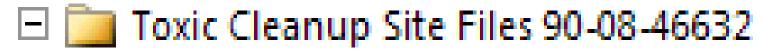


#### Law Enforcement



- 🗄 📋 Case Files
  - All Other Cases LE2010-064 (5 yrs or exhaust appeals)
  - Homicide (Solved) LE2010-062 (20 yrs or exhaust appeals)
  - Homicides (Unsolved) LE2010-061 (75 yrs or no longer needed, transfer)
  - Juvenile Offenders LE07-01-09 (23 yrs of age or eligible for destruct)
  - Missing Persons (Not Found) LE2010-061 (75 yrs or no longer needed)
  - Notorious, Historically Significant LE2010-060 (Transfer no longer needed)
  - Sex Offenders LE2010-063 (5 yrs after invest, exhaust appeal)
  - Unidentified Bodies LE2010-061 (75 yrs or no longer needed)

# Washington Secretary of State



- 🖃 📴 Cascade Pole
  - Exempt
- Century Mall
  - Fast Dry Cleaners

This series is
ARCHIVAL - 9 year
retention for
agency, then
transfer to archives

You may create and

protect folders as

exempt or confidential





Pet Shop Boys

Yummy Sandwich Shop

Chevron #4456 Big Al's 5555 Main Street

Port of Tacoma Bldg 6



## Helpful hints

- Use existing retention schedules!
- Consult with users, enlist their input
- Work on keeping file names short and simple, yet make sense to users
- Keep it under 255 characters & spaces, otherwise may have problems with access and retrieval



## What About Text Messages?

- Content is key are you conducting business?
- Have policies regarding use of texts
- Agency responsibility to capture texts that need retention according to approved schedules
- 3<sup>rd</sup> party tools/applications available

Cannot rely on provider to retain!



#### What About Websites?

## Records Retention – 3 areas

- 1. Website Design/Architecture
- 2. Website Content
- 3. Changes to Website Content

## Washington Secretary of State







Welcome About the Office Sam Reed Biography Secretaries of State News Releases Email Sam Reed Photo Gallery

#### Programs & Divisions

Address Confidentiality Apostilles Archives Charities Combined Fund Drive Corporations Digital Signatures Domestic Partnerships Elections & Voting Heritage Center International Trade



## Reed asks Legislature to move Primary two weeks earlier

Earlier Primary would comply with fede voters law helping military



#### \$5.5 million raised for charity by public employees

Despite a down year, the Combined Fund Drive generates millions for local, national and global charities



Secretary of State honors companies that give back Reed honors Bellevue and Pull companies with prestigious cir



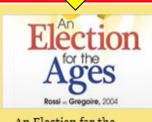
#### WA picks up 10th congressional

Census officials, including former Gov Gary Locke, the commerce secretary, have just announced...



#### Reed seeks earlier primary & ballots in by Election Day

Secretary of State Sam Reed is urging lawmakers to move Washington's Primary Election two weeks earlier, to early August. He also asks for a law requiring ballots to be in county elections offices by Election Day, rather than simply



An Election for the Ages: Rossi vs. Gregoire 2004 - Purchase this book



Day of Jubilation -Watch the video.



#### Content

- Typically, website content falls into these main categories:
  - 1. Secondary Copies of Other Public Records
  - 2. Database-Driven Content
  - 3. Advice / Information



## Why Document Changes

- It is not enough to just know what you said (the content)
- Agencies also need records documenting when did we say it and when did we stop saying it (the context to the content)



## Capturing websites/changes

It depends on the complexity of website Options include:

- Snapshots
- Email confirmations/webmaster
- Change logs/audit logs
- Maintaining entire site
- 3<sup>rd</sup> party software for ECM
  - Drupal, ColdFusion, Alfresco



#### What about databases?

- Apply same principles as websites
  - Based on content and function of database
  - Is it a repository of information held elsewhere?
  - Does it contain evidence of business transactions not found in another format?
  - Is the database dynamic with continuous changes, updates?



## Capturing databases

It depends on the complexity and function of database

#### Options include:

- Change logs/audit logs
- Maintaining entire database
  - 3<sup>rd</sup> party software for ECM



## Do you?



















## Points to ponder

#### Ask some questions:

- Make a business case for use do you really need to add another "technology du jour"?
- Check with legal counsel
- Check out terms of service agreements



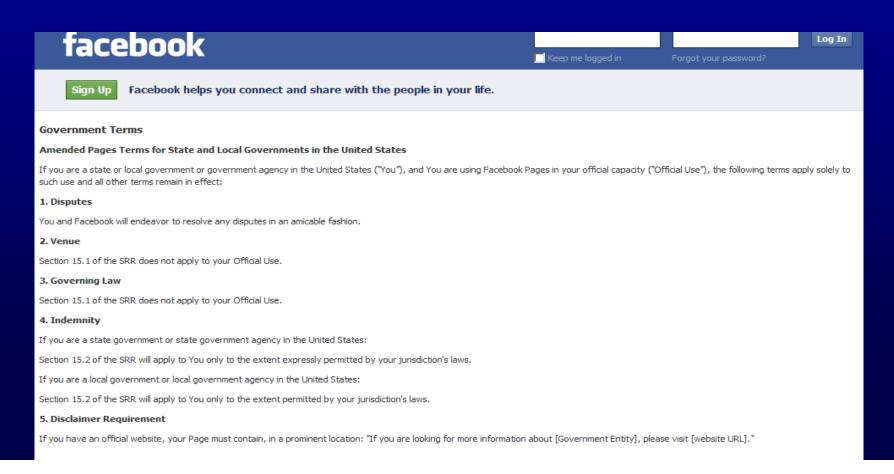
## TOS Agreement = Contract

- Security, identity "hijacking"
- Indemnity issues
- Privacy, data ownership
- Rights of company to edit/display/advertise
- Addressing merger/acquisitions
- Will use meet overarching regulations?
  - FOIA, ADA, RCW's, WAC's



## Hot off the press

 Facebook now has state and local government terms of service agreements





# Tips and tools to aid social media retention

- Series of email exchanges on content, when posted, when withdrawn, updates, etc.
- 3<sup>rd</sup> party software or content management systems
  - ✓ TwInbox
  - ✓ TweetTake
  - √ SocialSafe



# Going to the cloud

#### Issues to consider:

- Custody
- Co-mingling of data (will probably not be held separately from others using storage server)
- Privacy, security / hijacking of information
- Data transmission/flow (Where is the server, exactly?
- Disaster preparedness and recovery



## In conclusion...

Explore available options, and adapt them to best serve agency needs and usage

- Establish policies, procedures, ground rules
- Take time to fully develop file structures and plan, plan, plan for implementation
- Keep it as simple as possible
- Education, training, and more training
- Lots of patience (Chocolate helps!)



## **Questions?**

Records Management Helpdesk recordsmanagement@sos.wa.gov

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http://www.sos.wa.gov/archives/
RecordsManagement/





# Washington State Archives: Partners in preservation and access

www.sos.wa.gov/archives